CHAPTER 7
FUND CONTROL

7.1 FUND CONTROL MENU

The Fund Control Menu along with the Allocation Menu (see Chapter 8) allows users to access information for managing and controlling available funds. It is accessed from the FHWA-FMIS 4.0 Main Menu. This menu (FIGURE 7.1) is available to all users and provides access to detail funding information.

7.2 PROGRAM CODE

The Program Code, as described in Chapter 3, is the 4-digit code used to identify funding category. These codes are established and assigned by the Finance Division. All program codes (current and historical) are retained in the FMIS. All users have access to this information. The information recorded for the program codes as shown in FIGURE 7.2 identifies key details for the funding type, such as charged to limitation, availability period, Federal share, etc. Enter Program Code, then click OPEN.

FIGURE 7.2

7.2.1   <u>**Transfer Restriction**</u>

FMIS Team members enter the Program Codes that can receive transferred funds from the displayed Program Code.   The maximum number of transfers and the maximum percentage of original funding that can be transferred is displayed here.

FIGURE 7.2A

7.2.2   <u>**Lapse**</u>

To determine availability period, click LAPSE and the PROGRAM CODE LAPSE screen (FIGURE 7.2B) will display the appropriate information.

FIGURE 7.2B

7.3 RECODE

The Recode, as described in Chapter 3, is the 3-digit code that groups related program codes, i.e., Recode 015 for NHS consist of program codes 3150, 3160, Q050, Q400, etc. The key use for recodes is to generate reports. To determine the appropriate recode, view the Program Code screen or refer to the FMIST51A report. To view recode information, enter recode number and click OPEN as shown in FIGURE 7.3. SAVE, DELETE and CLEAR are available only to the FMIS Team.

FIGURE 7.3
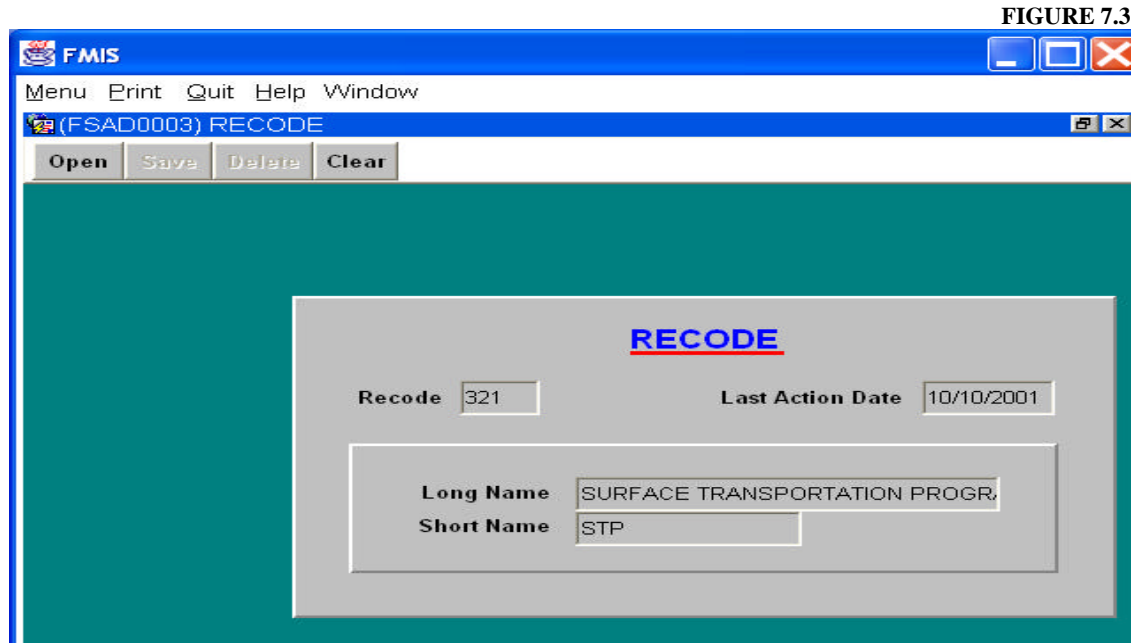
7.4 APPORTIONMENTS

The "apportionment" as it applies to the Federal-aid Highway Program refers to the distribution of authorized funds to the States for specific programs under formulas or other distribution procedures that are prescribed in law. To view, click APPORTIONMENTS from the FUND CONTROL MENU. Select Fiscal Year, Cost Center, and enter Program Code. Select Urbanized or Withdrawal Area and Demo ID, if applicable. Click OPEN. The legislation authorizing the funding is automatically displayed in the Public Law field. The VIEW/UPDATE APPORTIONMENT in FIGURE 7.4 shows apportionments changes, transfers and lapse amounts by fiscal year with transaction number and date.

FIGURE 7.4

- **Reference Date** can be used to show all updates.

- **Original Amount** is uploaded into the FMIS from spreadsheets provided from the Apportionments Computation Tables.

- **Apport Changes** can be viewed, if field is populated, by clicking HISTORY on tool bar.

- **Transfer (-) and Transfer (+)** show fiscal year funds which have been transferred to a different program code or transferred from a different program code.

- **I/A Transfer (-) and I/A Transfer (+)** show fiscal year funds which have been transferred to a different DOT agency or transferred from a different DOT agency.

- **Lapsed** shows the amount of funds which lapsed for the fiscal year.

- **User Name** displays the name of the user to last update the apportionment. Uploaded apportionments are identified as "Batch" in this field.

7.4.1   Transfers From (-) and To (+) Apportionment

In accordance with the Uniform Transferability of Federal-Aid Highway Funds in 23 U.S.C., the FMIS allows for the transfers of funds from a program code to another program code. From VIEW/UPDATE APPORTIONMENT, click TRANSFER (-) or TRANSFER (+) to display details. The TRANSFERS (+) TO APPORTIONMENT and TRANSFERS (-) FROM APPORTIONMENT screens will show transfers by fiscal year and program code for each cost center. FIGURE 7.4.1 shows Transfers (+) to Apportionments.

FIGURE 7.4.1

7.4.2   View Transfer

To view transfers from the Transfers (+) or (-) Apportionment screen as shown in FIGURE 7.4.2, highlight and click the appropriate line. More details of the transfer is displayed as shown in FIGURE 7.4.2.

FIGURE 7.4.2

7.5   TOTAL TO DATE (TOTD) APPORTIONMENTS

The Total Apportionments may be viewed by clicking TOTD APPORTIONMENT from the FUND CONTROL MENU. To view all apportionments (FIGURE 7.5) for all fiscal years, select cost center, program code and other appropriate criteria, i.e., Demo ID, urbanized area and withdrawal area. Click OPEN and the apportionment information will be displayed, i.e., Original and Net Amounts, Apportionment Change, Transfer (+) and (-) as shown. Scroll to the right to view Inter-State and Inter-Agency (IA) transfers in (+) and out (-), and Lapsed.

FIGURE 7.5

7.6   INTER-AGENCY (IA) TRANSFERS

In accordance with 23 U.S.C., specific programs may be transferred to other agencies, such as Federal Transit Administration. Requests for IA transfers are submitted to the FHWA Finance Division, FMIS Team. The amounts requested are posted into FMIS and can be viewed by selecting INTER-AGENCY TRANSFERS (FIGURE 7.6) from the FUND CONTROL MENU or access from VIEW APPORTIONMENT screen.   Select Fiscal Year and Cost Center, enter program code; then click OPEN. Enter the Urban area, Withdrawal area and Demo ID, if applicable. For Demo ID, the Public law will be displayed.

FIGURE 7.6

7.6.1   Transfer History

From VIEW INTER-AGENCY TRANSFERS (FIGURE 7.6), view details for each program code by clicking HISTORY. The details of the transfer transaction will be shown as in FIGURE 7.6.1.

7.7 LIST INTERAGENCY TRANSFER

The LIST IA TRANSFER APPORTS/ALLOCS screen can be accessed from the FUND CONTROL MENU. Users may view a list of all IA transfers by selecting Fiscal Year and Cost Center; then clicking OPEN. If no program code is entered, all program codes will be shown as in FIGURE 7.7.

FIGURE 7.7

7.8 FISCAL YEAR VALUES

For each Fiscal year, the total obligation limitation amount and pro rata share for all limitation types can be viewed by selecting FISCAL YEAR VALUES from the FUND CONTROL MENU. Select the fiscal year and all information will be displayed as shown in FIGURE 7.8. First Quarter defaults to 100% (legislation may set a lower rate). Formula and non-formula limitation are shown as Charge to Limitation. All special limitation categories (Appalachia, High Priority Project, Minimum Guarantee, Woodrow Wilson Bridge and RABA Special Projects) also are shown. The Safety category represents 10% limit for safety activity (23U.S.C. 120(d)). Monthly and cumulative administration amounts (MAD CAD AMT) are for the FMIS Team only.

FIGURE 7.8

ENTER FISCAL YEAR VALUES

Fiscal Year: 2002   MAD CAD AMT

Total Limitation: $35,148,260,693.56
First Quarter Percent: 100.00

Limitation Code	Pro Rata Share
Charge To Limitation	90.40
Appalachia	90.40
High Priority Project	90.40
Minimum Guarantee	90.40
Woodrow Wilson Bridge	90.40
Safety	90.40
RABA Special Projects	